

Atty. Dkt. No. 036222-0212

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Albert R. Deisseroth and Lixin Zhang

Title: ADENOVIRAL VECTOR VACCINE

Appl. No.: 10/534,605

Filing Date: 05/11/2005

Examiner:

Art Unit:

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INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR §1.56

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 Commissioner for Patents
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Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicants in order to comply with Applicants' duty of disclosure pursuant to 37 CFR §1.56.

A copy of each non-U.S. patent document and each non-patent document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The listed documents are being submitted in compliance with 37 CFR §1.97(b), before the mailing date of the first Office Action on the merits.

RELEVANCE OF EACH DOCUMENT

All of the documents are in English.

Applicants respectfully request that each listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 50-0872. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 50-0872.

Respectfully submitted,

Date July 19, 2005

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Customer Number: 30542
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By Barry Wilson

Barry S. Wilson
Attorney for Applicant
Registration No. 39,431

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 1 of 9		Complete if Known	
		Application Number	10/534,605
		Filing Date	May 11, 2005
		First Named Inventor	Albert B. Deisseroth
		Group Art Unit	
		Examiner Name	
		Attorney Docket Number	036222-0212

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	A1	2003/0176377		Xiang, et al.	09-18-2003	
	A2	4,161,519		Talwar	07-17-1979	
	A3	4,608,251		Mia	08-26-1986	
	A4	5,658,785		Johnson, Phillip	08/19/1997	
	A5	5,849,522		Fleckenstein, et al.	12/15/1998	
	A6	5,849,876		Linsley, et al.	12/15/1998	
	A7	5,874,085		Mond, et al.	02/23/1999	
	A8	5,928,913		Efstathiou, et al.	07/27/1999	
	A9	5,962,406		Armitage, et al.	10/05/1999	
	A10	6,017,527		Maraskovsky, et al.	01/25/2000	
	A11	6,040,174		Imler, et al.	03/21/2000	
	A12	6,087,329		Armitage, et al.	07/11/2000	
	A13	6,110,744		Fang, et al.	08/29/2000	
	A14	6,133,029		Gruber, et al.	10/17/2000	
	A15	6,147,055		Hobart, et al.	11/14/2000	
	A16	6,218,140		Fleckenstein, et al.	04/17/2001	
	A17	6,224,870		Segal, Andrew	05/01/2001	
	A18	6,287,557		Boursnell, at al.	09/11/2001	
	A19	6,290,972		Armitage, et al.	09/18/2001	
	A20	6,294,654		Bogen, et al.	09/25/2001	
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	A22	6,482,407		Soo Hoo, William	11/19/2002	
	A23	6,497,876		Maraskovsky, et al.	12/24/2002	
	A24	6,500,641		Chen, et al.	12/31/2002	
	A25	6,566,128		Graham, et al.	05/20/2003	
	A26	6,794,188		Barsov	09-21-2004	

FOREIGN PATENT DOCUMENTS

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		Office ³	Number ⁴ Kind Code ⁵ (if known)				
	A27		WO 2004/044176	Deisseroth et al.	05-27-2004		
	A28		WO 96/11279	The Government of the United States of America	04-18-1996		
	A29		WO 98/17799	The Trustees of the University of Pennsylvania	04-30-1998		

Examiner
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/Phillip Gambel/

Date
Considered

07/06/2010

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				First Named Inventor	Albert B. Deisseroth
				Group Art Unit	
Examiner Name					
Attorney Docket Number	036222-0212				
Sheet	2	of	9		

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.		T ⁶
	A30	ALLISON and Byars, "Immunological Adjuvants and their mode of action." (in <u>Vaccines: New Approaches to Immunological Problems</u> , R. Ellis ed., Chapter 19), pp. 431-449.		
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	A32	ARAI, et al., "Design of the linkers which effectively separate domains of a bifunctional fusion protein," <i>Protein Engineering</i> , 14(8):529-532 (2001)		
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	A34	BIÉCHE, et al., "A gene dosage effect is responsible for high overexpression of the MUC1 gene observed in human breast tumors," <i>Cancer Genet. Cytogenet.</i> 98:75-80 (1997)		
	A35	Bell et al., "Dendritic cells." (in <u>Advances in Immunology</u> , edited by Frank J. Dixon, Academic Press, Volume 72), 255-324, 1999.		
	A36	Broder et al., Recombinant adenovirus-transduced dendritic cell immunization in a murine model of central nervous system tumor <i>Neurosurg Focus</i> 9:1-8, 2000.		
	A37	BYARS, et al., "Adjuvant formulation for use in vaccines to elicit both cell-mediated and humoral immunity," <i>Vaccine</i> 5:223-228 (1987)		
	A38	CHEN, et al., Linkage of CD40L to a self-tumor antigen enhances the antitumor immune responses of dendritic cell-based treatment. <i>Cancer Immunology Immunother.</i> 51(6) :341-348, 2002		
	A39	CHOUDHURY, et al., Dendritic cells derived in vitro from acute myelogenous leukemia cells stimulate antologous, antileukemic T-cell responses. <i>Blood</i> , 93(3) : 780-786, 1999.		
	A40	Crook et al., Continued expression of HPV-16 E7 protein is required for maintenance of the transformed phenotype of cells co-transformed by HPV-16 plus EJ-ras. <i>EMBO J.</i> 8: 513-519, 1989.		
	A41	DAKAPPAGARI et al., "Chimeric multi-human epidermal growth factor receptor-2 B cell epitope peptide vaccine mediates superior antitumor responses," <i>J Immuno.</i> 170(8):4242-4253 (2003)		

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	A42	Dhodapkar, <i>et al.</i> Rapid generation of broad T-cell immunity in humans after a single injection of mature dendritic cells. <i>J Clin Invest.</i> 104: 173-180, 1999.	
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	A44	ENGELMANN, et al., Identification and topology of variant sequences within individual repeat domains of the human epithelial tumor mucin MUC1. <i>J. Biol. Chem.</i> 276:27764-27769, 2001.	
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	A47	Fong L, <i>et al.</i> Dendritic cells injected via different routes induce immunity in cancer patients. <i>J Immunol.</i> 166: 4254-4259, 2001.	
	A48	FREUND, "The mode of action of immunologic adjuvants," <i>Adv. Tuberc. Res.</i> 7:130-148 (1956)	
	A49	GARCON et al., "Universal vaccine carrier. Liposomes that provide T-dependent help to weak antigens," <i>J. Immunol.</i> 146:3697 (1991)	
	A50	GENDLER S.J. et al, "Molecular cloning and expression of human tumor-associated polymorphic epithelial mucin," <i>J. Biol. Chem.</i> 265:15286-15293 (1990)	
	A51	GONG, et al., "Selection and characterization of MUC1-specific CD8+ cells from MUC1 transgenic mice immunized with dendritic-carcinoma fusion cells." <i>Immunology</i> , 101:316-324 (2000)	
	A52	GREENLEE, et al., "Cancer statistics, 2000," <i>Cancer J.</i> 50:7-33 (2000)	
	A53	Gunzer et al., Dendritic cells and tumor immunity. <i>Semin Immunol</i> 13:291-302, 2001.	
	A54	GUY, et al. "Expression of the neu protooncogene in the mammary epithelium of transgenic mice induces metastatic disease," <i>Proc. Natl. Acad. Sci. USA</i> 89:10578-10582 (1992)	

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	A55	HOLLINGSWORTH, et al., "Expression of MUC1, MUC2, MUC3, and MUC4 mucin mRNA in human pancreatic and intestinal tumor cell lines," <i>Int J Cancer</i> 57:198-203 (1994)		
	A56	Hsu et al. Vaccination of patients with B-cell lymphoma using autologous antigen-pulsed dendritic cells. <i>Nat Med.</i> 2: 52-58, 1996.		
	A57	JEANNON, et al. "Altered MUC1 and MUC2 glycoprotein expression in laryngeal cancer," <i>Otolaryngol Head Neck Surg.</i> 124:199-202 (2001)		
	A58	JOHNSON, et al., "Characterization of a Nontoxic Monophosphoryl Lipid A," <i>Rev. Infect. Dis.</i> 9:S512 (1987)		
	A59	KANEDA, "New Vector Innovation for Drug Delivery: Development of Fusigenic Non- Viral Particles," <i>Curr Drug Targets</i> 4(8):599-602 (2003)		
	A60	KIM, et al., "Aberrant expression of MUC5AC and MUC6 gastric mucins and sialyl Tn antigen in intraepithelial neoplasms of the pancreas," <i>Gastroenterology</i> 123:1052-1060 (2002)		
	A61	KONTANI, et al., "Modulation of MUC1 mucin as an escape mechanism of breast cancer cells from autologous cytotoxic T-lymphocytes," <i>Br. J. Cancer</i> 84:1258-1264 (2001)		
	A62	Kusuhara et al., Killing of naive T cells by CD95L-transfected dendritic cells (DC): <i>in vivo</i> study using killer DC-DC hybrids and CD4(+) T cells from DO11.10 mice. <i>Eur J Immunol</i> 32:1035-1043, 2002.		
	A63	Lamikanra et al., Regression of established human papillomavirus type 16 (HPV-16) immortalized tumors <i>in vivo</i> by vaccinia viruses expressing different forms of HPV-16 E7 correlates with enhanced CD8(+) T-cell responses that home to the tumor site. <i>J Virol</i> , 75: 9654-9664, 2001.		
	A64	Larsson et al., A recombinant vaccinia virus based ELISPOT assay detects high frequencies of Pol-specific CD8 T cells in HIV-1-positive individuals. <i>AIDS</i> 13:767-777, 1999.		
	A65	Liu et al., Codon Modified Human Papillomavirus Type 16 E7 DNA Vaccine Enhances Cytotoxic T-Lymphocyte Induction and Anti-tumor Activity. <i>Virology</i> 15: 301-343, 2002.		

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	A66	Luft et al., IFN-alpha enhances CD40 ligand-mediated activation of immature monocyte-derived dendritic cells. <i>Int Immunol</i> 14:367-380, 2002		
	A67	Markowicz and Engleman, Granulocyte-macrophage colony-stimulating factor promotes differentiation and survival of human peripheral blood dendritic cells <i>in vitro</i> . <i>J Clin Invest</i> . 85: 955-961, 1990.		
	A68	MOREIN, et al., "Iscom, a novel structure for antigenic presentation of membrane proteins from enveloped viruses," <i>Nature</i> 308:457 (1984)		
	A69	MULLER, et al., "Single-step induction of mammary adenocarcinoma in transgenic mice bearing the activated c-neu oncogene," <i>Cell</i> 54(1):105-115 (1988)		
	A70	Murphy GP, et al. Infusion of dendritic cells pulsed with HLA-A2-specific prostate-specific membrane antigen peptides: a phase II prostate cancer vaccine trial involving patients with hormone-refractory metastatic disease. <i>Prostate</i> 38: 73-78, 1999.		
	A71	Nestle et al. Vaccination of melanoma patients with peptide- or tumor lysate-pulsed dendritic cells. <i>Nat Med</i> . 4: 328-332, 1998.		
	A72	NGUYEN, et al., "Membrane-bound (MUC1) and secretory (MUC2, MUC3, and MUC4) mucin gene expression in human lung cancer," <i>Tumor Biol</i> . 17(3):176-192 (1996)		

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	A73	O'HAGAN, et al., "Biodegradable microparticles as controlled release antigen delivery systems," <i>Immunology</i> 73:239-242 (1991)		
	A74	Paglia P, et al. Murine dendritic cells loaded <i>in vitro</i> with soluble protein prime cytotoxic T lymphocytes against tumor antigen <i>in vivo</i> (see comments). <i>J Exp Med</i> 183: 317-322, 1996.		
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	A76	REDMOND, et al., "Rotavirus particles function as immunological carriers for the delivery of peptides from infectious agents and endogenous proteins," <i>Mol. Immunol.</i> 28:269 (1991)		
	A77	REGIMBALD, et al., "The breast mucin MUC1 as a novel adhesion ligand for endothelial intercellular adhesion molecule 1 in breast cancer," <i>Cancer Res.</i> 56:4244-4249 (1996)		
	A78	REN, et al., "Protein Kinase C Regulates Function of the DF3/MUC1 Carcinoma Antigen in -Catenin Signaling*," <i>J. Biol. Chem.</i> 277:17616-17622 (2002)		
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	A80	Ribas et al., CD40 cross-linking bypasses the absolute requirement for CD4 T cells during immunization with melanoma antigen gene-modified dendritic cells. <i>Cancer Res.</i> 61:8787-8793, 2001.		

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				Application Number	10/534,605
				Filing Date	May 11, 2005
				First Named Inventor	Albert B. Deisseroth
				Group Art Unit	
Examiner Name					
Sheet	7	of	9	Attorney Docket Number	036222-0212

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	A81	Rininsland et al., Granzyme B ELISPOT assay for ex vivo measurements of T cell immunity. J Immunol Methods 240:143-155, 2000.	
	A82	ROWSE, et al., "Tolerance and immunity to MUC1 in a human MUC1 transgenic murine model," Cancer Res. 58:315 (1998)	
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	A88	Timmerman and Levy, Dendritic cell vaccines for cancer immunotherapy. Annual Rev Med. 50: 507-529, 1999.	

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	A89	THOMAS, et al., "Non-viral gene therapy: polycation-mediated DNA delivery," <i>Appl Microbiol Biotechnol</i> 62(1):27-34 (2003)		
	A90	WANG, et al., "Essential roles of tumor-derived helper T cell epitopes for an effective peptide-based tumor vaccine," <i>Cancer Immun.</i> 3:16 (2003)		
	A91	XIANG, et al., "A dual-function DNA vaccine encoding carcinoembryonic antigen and CD40 ligand trimer induces T cell-mediated protective immunity against colon cancer in carcinoembryonic antigen-transgenic mice," <i>The Journal of Immunology</i> , 167:4560-4565 (2001)		
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	A97	Zitvogel L, <i>et al.</i> Therapy of murine tumors with tumor peptide-pulsed dendritic cells: dependence on T cells, B7 co-stimulation, and T helper cell 1-associated cytokines. J Exp Med. 183: 87-97, 1996.	
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